

U.S. DEPARTMENT OF ENERGY (DOE) NATIONAL TRANSPORTATION PROGRAM, ALBUQUERQUE (NTP-A) Standard Operating Procedure			
Title: NTP-A and/or Field Offices Requirements for Planning, Conducting, Documenting, and Reporting Technical Assistance Activities			
Procedure No: NTP-A-TCEAP.003	Revision No: 1	Date: July 2000	Page: 1 of 11

1.0 PURPOSE

To specify a consistent approach to planning, conducting, documenting, and reporting technical assistance activities. This procedure meets the requirements identified as activity three in the TCEAP Management Plan.

2.0 SCOPE

This procedure applies to DOE-HQ, NTP-A, Field Office, and contractor transportation and packaging organization personnel performing transportation-related functions and activities.

3.0 REQUIREMENTS, REFERENCES AND DEFINITIONS

3.1 Requirements

- a. National Transportation Program "Transportation Compliance Evaluation/Assistance Program (TCEAP) Management Plan"
- b. DOE Order 460.1A, "Packaging and Transportation Safety," October 2, 1996
- c. DOE G 460.1-1, "Implementation Guide for use with DOE O 460.1A," June 5, 1997
- d. DOE Order 460.2, Change 1, Version 1, "Departmental Materials Transportation and Packaging Management," September 27, 1995
- e. DOE G-460.2-1, "Implementation Guide for Use With DOE Order 460.2," November 15, 1996
- f. DOE Order 200.1, "Information Management Program," September 30, 1996
- g. Title 10, Code of Federal Regulations
- h. Title 40, Code of Federal Regulations
- i. Title 41, Code of Federal Regulations
- j. Title 49, Code of Federal Regulations

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3.2 References

- a. DOE Order 414.1A, "Quality Assurance," September 29, 1999
- b. DOE G 414.1-2 "Quality Assurance Management System Guide for Use with 10 CFR 830.120 and Doe O 414.1," June 17, 1999

3.3 Definitions

- a. Corrective Action Plan - A memorandum, letter, or action plan; written by the evaluated organization in response to the final Transportation Compliance Evaluation/Assistance Program (TCEAP) Report. This response should contain a description of the corrective action to be taken for evaluation observations; a schedule for implementation of the corrective action; and a detailed explanation regarding any disputed observations.
- b. Deficiency - A condition of an activity, attribute, documentation, or procedure that renders it unacceptable, indeterminate, or noncompliant.
- c. Evaluation - The act of reviewing, inspecting, testing, checking, surveilling, auditing, or otherwise determining and documenting whether items, processes, or services meet specified requirements.
- d. Evaluation Program Coordinator - A DOE employee or designated contractor who coordinates, implements, and administers TCEAP activities. If requested, the EPC may assist NTP-A and/or Field Offices in selecting members for the evaluation team and/or in organizing and directing the evaluation process. For the purposes of this procedure, the term "Evaluation Program Coordinator" and "Assistance Program Coordinator" are the same.
- e. Evaluation Team - The individual(s) tasked to conduct a specific evaluation at the same time as other evaluators or subject-matter experts. For the purposes of this procedure, the term "Evaluation Team" and "Assistance Team" are the same.
- f. Evaluation Team Leader - The DOE personnel responsible for authorizing or requesting a specific evaluation. Depending on the activity being evaluated, the Evaluation Team Leader (ETL) could be NTP-A, Field Office or Program Office management personnel. The ETL assumes a leadership role during pre-evaluation, evaluation, and post-evaluation activities. The ETL also provides contractor management interface. For the purposes of this procedure, the term "Evaluation Team Leader" and Assistance Team Leader" are the same.

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- g. Evaluator - An individual who, by qualification of experience, training, and/or education participates on the evaluation team as a subject-matter expert and can fulfill specific requirements related to the TCEAP process..
- h. Nonconformance - The nonfulfillment of a specific requirement. For the purpose of this document, nonconformance and noncompliance are considered to be synonymous.
- i. Objective Evidence - Information that can be proved true based on facts obtained through observations, measurement, test or other means.
- j. Observation - A statement of fact made during an evaluation and substantiated by objective evidence.
- k. Self-Assessment - An assessment of work by its performer; according to specified rules.

4.0 GENERAL

4.1 Assistance activities are performed to verify that requirements, found not to be in compliance, are corrected and implemented.

4.2 Assistance activities are conducted to:

- a) determine effectiveness of the system in producing the desired result of the appropriate quality
- b) document compliance or noncompliance with requirements, policies, and procedures
- c) promote prompt corrective action by management responsible for performing work
- d) provide management information on compliance and quality-affecting activities
- e) verify timely implementation of corrective actions
- f) foster continuous improvement in work activities.

4.3 An assistance team may consist of one or more persons, as deemed necessary. Where only one person performs the assistance activity, that individual shall assume the responsibilities of the assistance team leader.

4.4 Assistance activities shall be performed by personnel who meet the requirements of the TCEAP Management Plan, and are knowledgeable in the activities being performed.

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4.5 The final Assistance report format will consist of the following sections:

- a.. Table of Contents
- b. Introduction
- c. Scope
- d. Summary of Assistance Activities
- e. Conclusion
- f. Recommendations

5.0 PROCEDURE

Attachment A contains a flow chart depicting the overall work process associated with this procedure.

6.0 RECORDS

Documents generated as a result of this procedure shall be identified, classified, and prepared in accordance with DOE 200.1, and managed with respect to the requirements specified in DOE G 200.1. At a minimum, the following are to be considered QA records:

- 6.1 Assistance Activity Notification Memorandum or letter
- 6.2 Attendance Record Form(s)
- 6.3 Assistance Activity Report
- 6.4 Closeout Memo

7.0 ATTACHMENTS

- 7.1 Attachment A: Assistance Activity Process Flow Diagram
- 7.2 Attachment B: Attendance Record Form (Example)

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8.0 REVISION LISTING

<u>Revision Number</u>	<u>Description</u>	<u>Date Approved</u>
0	NTP-A-TCEAP.003	July 1999
1	NTP-A-TCEAP.003	July 2000

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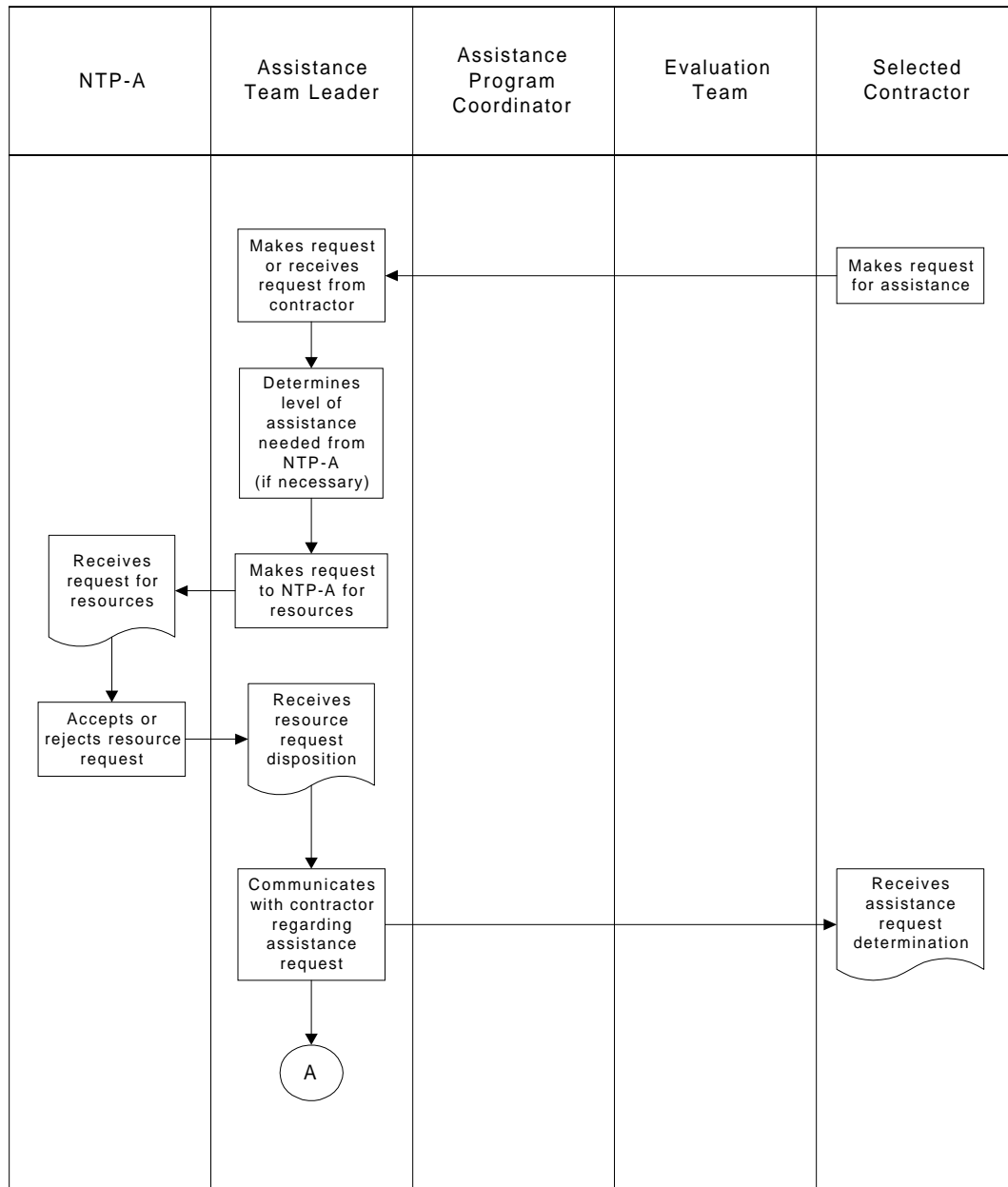
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Attachment A
Assistance Process Flow Diagram



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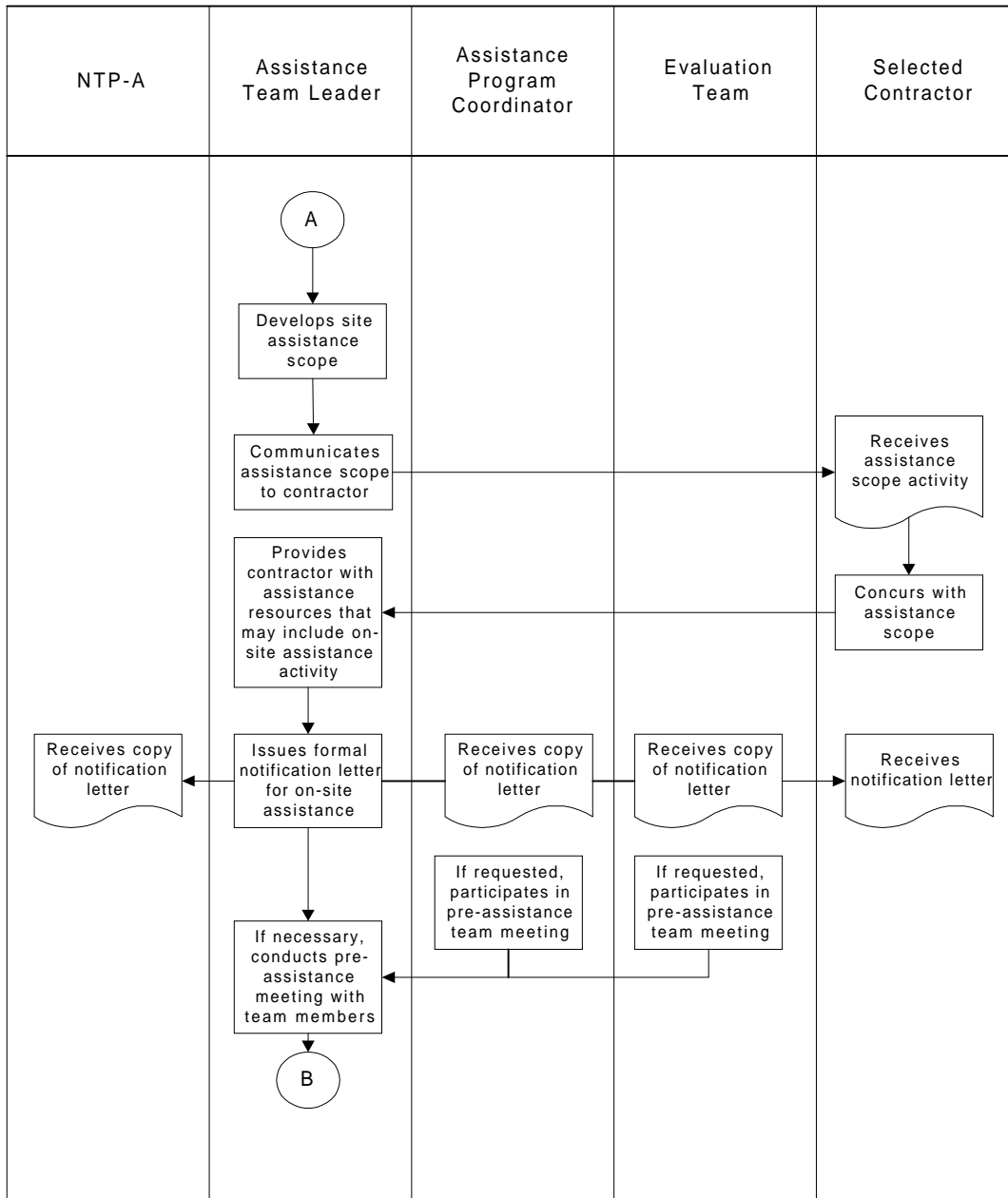
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Attachment A (cont.)
Assistance Process Flow Diagram



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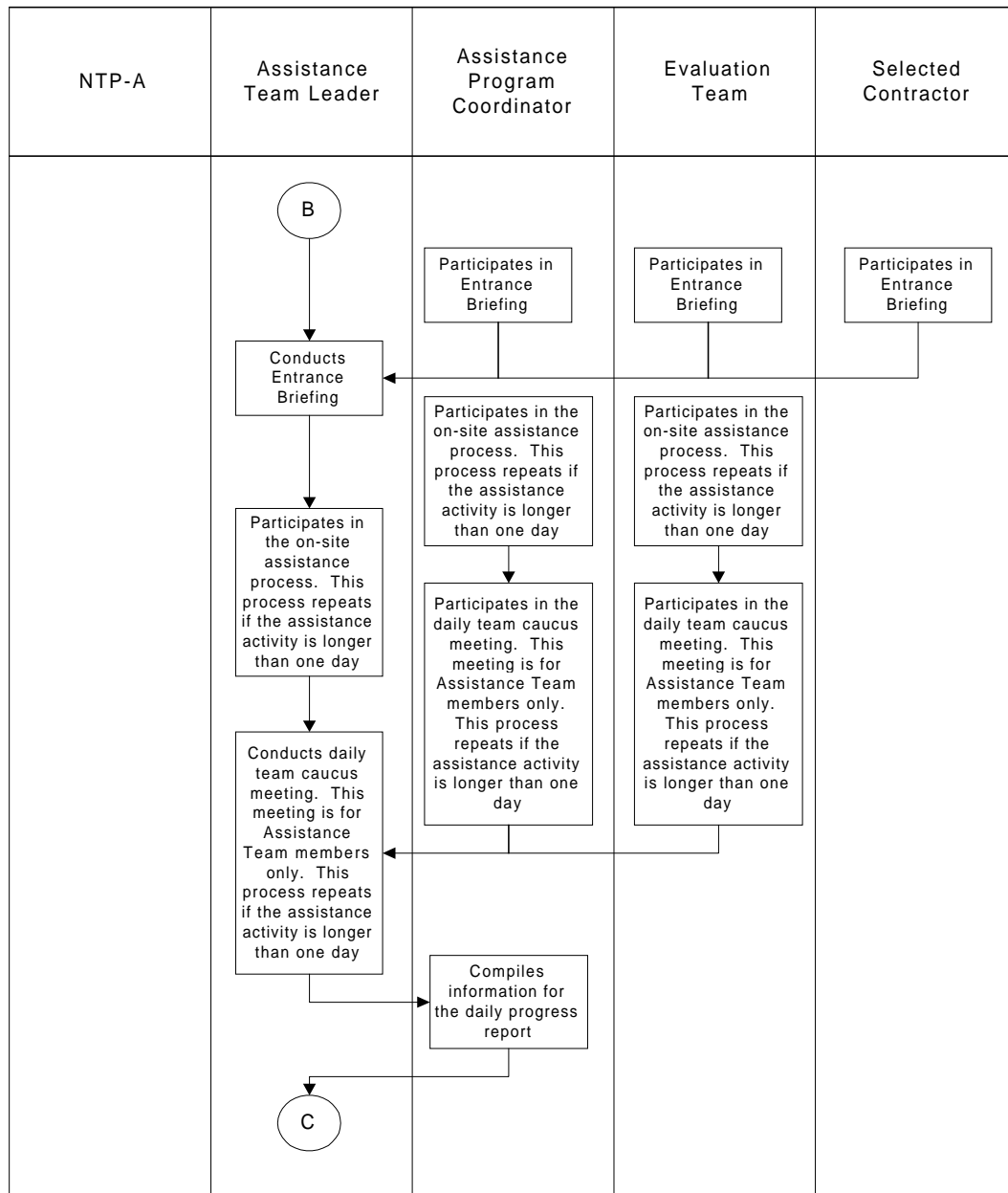
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**Attachment A (cont.)
Assistance Process Flow Diagram**



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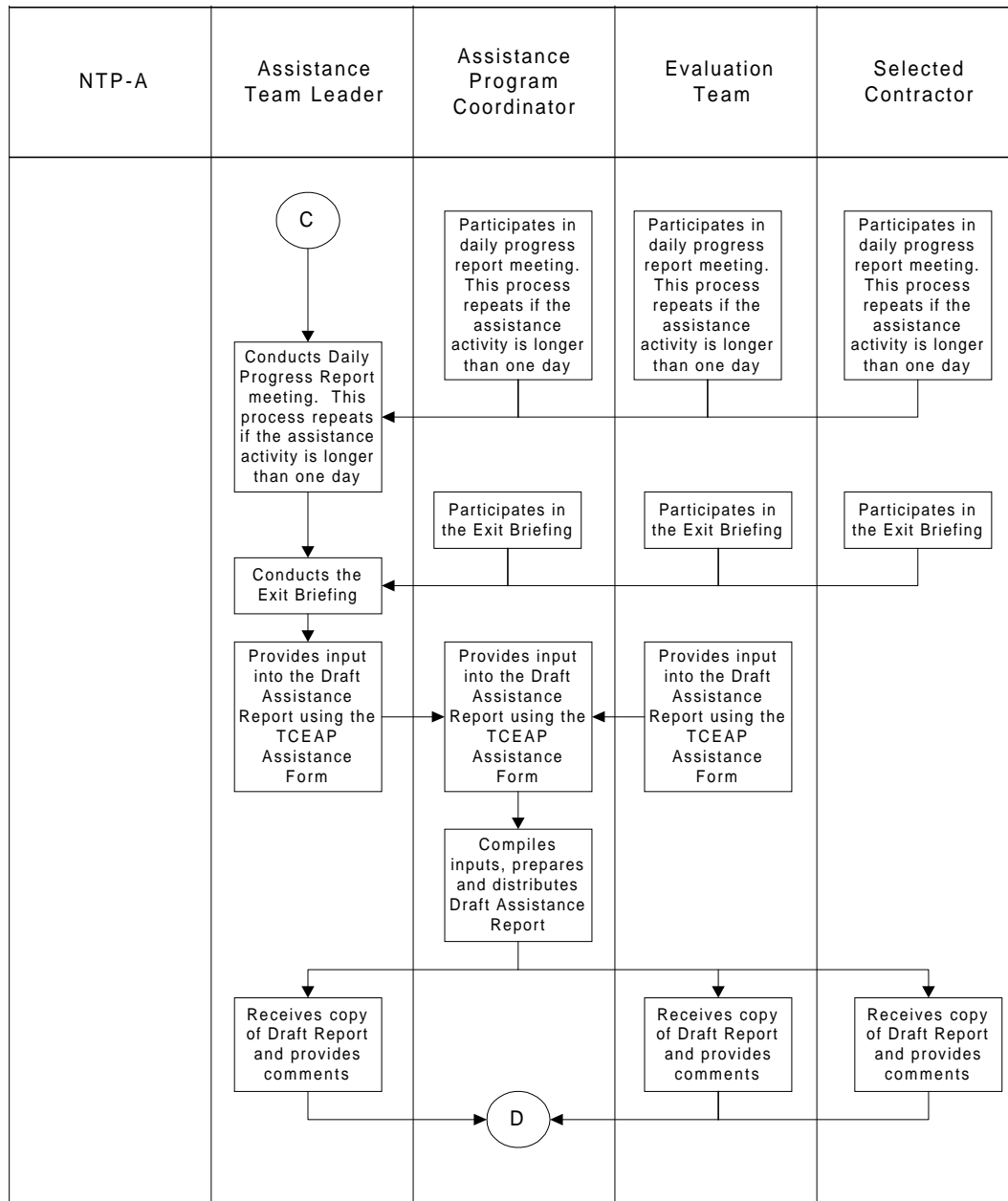
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**Attachment A (cont.)
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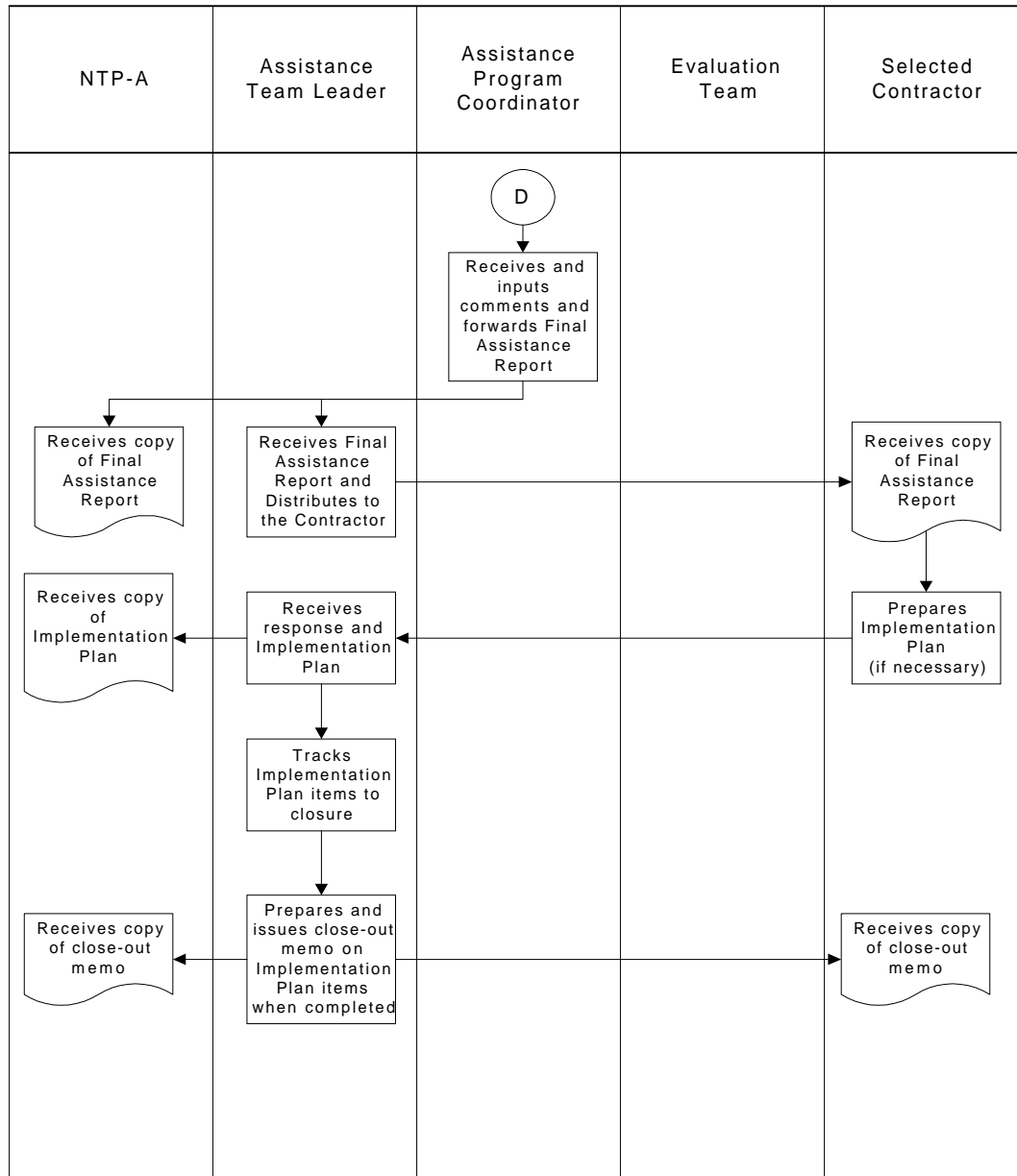
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Attachment A (cont.)
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Attachment B
Attendance Record Form (example)

ASSISTANCE ACTIVITY ATTENDANCE RECORD FORM

Sheet of

Date:

☐ EVALUATION ☐ PRE-ASSISTANCE MEETING ☐ DAILY PROGRESS REPORT
☐ ASSISTANCE ☐ ENTRANCE BRIEFING ☐ EXIT BRIEFING
☐ OTHER: ☐ TEAM CAUCUS MEETING

ASSISTANCE TEAM LEADER

Signature

Date

BRIEF SUMMARY OF MATERIAL COVERED:

NAME OF ATTENDEE

COMPANY

PHONE NUMBER